

JUROR QUESTIONNAIRE

We are selecting a jury for a trial in this criminal case. The trial is expected to begin June 4 and last until the end of June or early July. The case involves allegations of wrongdoing by employees of State Street Corporation and its affiliated companies in connection with securities trading.

Please answer the following questions to the best of your ability. Your answers will be used in the jury selection process for this case.

A member of the Clerk's Office staff will be available while you complete the questionnaire and will collect the questionnaire when you are done. If you have any difficulty reading, understanding or completing the questionnaire, please ask for assistance.

1. Do you have a scheduling conflict that prevents you from serving as a juror during the period from June 4 to early July?

☐ Yes ☐ No

If yes, please explain.

2. How old are you?
3. In what city/town do you currently reside?
4. Please state how far you went in school (circle highest level):
 - a. High school degree or less
 - b. Vocational/trade school
 - c. Some college/Two-year degree
 - d. Four-year college degree
 - e. Post-graduate work
5. What is your current occupation? If you are retired, please write "retired" and provide your former occupation.

Juror Number: _____

6. Please state your places of employment for the past five years, and, for each one, please provide a description of your job duties. If you are retired, please provide this information for the five years before you retired.
7. Have you, a family member, or a close friend ever worked for a securities brokerage firm, mutual fund company, hedge fund, investment manager, investment advisor, securities trader, investment analyst, investment bank, stock promoter, or any other financial institution involved in the buying or selling of securities?

☐ Yes ☐ No

If yes, please explain.

8. Are you a customer of a credit union?

☐ Yes ☐ No

If yes, please provide the name of the credit union and state whether or not the credit union is the primary financial institution that you use.

9. Have you ever invested in securities (e.g., stocks or bonds)?

☐ Yes ☐ No

If yes, please summarize your level of investment experience and state whether you make your own investment decisions or rely on a broker or financial advisor.

10. Have you ever had an interest in a retirement fund or other investment fund? This would include any pension fund, mutual fund, or hedge fund.

☐ Yes ☐ No

If yes, please explain.

Juror Number: _____

11. Are you familiar with the rules and regulations related to securities trading?

☐ Yes ☐ No

If yes, please explain how you developed that familiarity.

12. Have you suffered significant financial losses due to the 2008-2009 economic crisis?

☐ Yes ☐ No

If yes, might this experience, in any way, impact your approach to the deliberations in this case? Please explain.

13. Have you or anyone in your family ever had a dispute with a bank or investment firm?

☐ Yes ☐ No

If yes, please describe the general nature of the dispute, when it occurred, and whether the dispute was resolved to your satisfaction.

14. Is there anything about your experience as an investor or your views of the securities markets that might affect your ability to be fair and impartial in this case?

☐ Yes ☐ No

If yes, please explain.

15. Do you have any strong opinions, thoughts, or feelings about Wall Street, large banks, or large bank executives?

☐ Yes ☐ No

Juror Number: _____

If yes, please explain.

16. Would the fact that the defendant in this case is a former executive at a large bank affect your ability to be fair and impartial?

☐ Yes ☐ No

If yes, please explain.

17. The defendant in this case is charged with securities fraud. As the Judge will explain at the end of the trial, in this context a false or misleading statement is a crime only if the prosecution proves that the statement was material or important. Will you be able to follow an instruction that false or misleading statements must be material to support a conviction?

☐ Yes ☐ No

If no, please explain.

18. Do you read any financial periodicals, such as Barron's, the Wall Street Journal, the financial sections of any newspapers, or any financial blogs?

☐ Yes ☐ No

If yes, which ones?

19. Have you heard, read, or seen anything from newspapers, television, radio, the internet, friends, family, or any other source regarding Ross McLellan, the charges against him, or this case?

☐ Yes ☐ No

Juror Number: _____

If yes, please describe what you heard, read, or saw, when and where you saw it, and what opinions (if any) you formed based on the information.

20. Have you heard, read, or seen anything from newspapers, television, radio, the internet, friends, family, or any other source regarding any other securities fraud cases or trials?

☐ Yes ☐ No

If yes, please describe what you heard, read, or saw, when and where you saw it, and what opinions (if any) you formed based on the information.

I solemnly swear or affirm under penalty of perjury that my answers to the questions in this questionnaire are true, correct, and complete to the best of my knowledge.

Signature: _____

Juror Number: _____

Printed Name: _____

Date: _____

Juror Number: _____